

UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>	Attorney Docket No.	NYMX0001
	First Inventor	Bruce M. Horton
	Title	SYSTEM AND METHOD FOR SETTLING TRANSACTIONS ON AN ERODING BASIS
	Express Mail Label No.	EV322528906US

APPLICATION ELEMENTS	Commissioner for Patents Mail Stop Patent Application PO Box 1450 Alexandria, VA 22313-1450
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1. <input checked="" type="checkbox"/> Fee Transmittal Form (submit an original and a duplicate for fee processing) 2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 3. <input checked="" type="checkbox"/> Specification [total pages <u>18</u>] (preferred Arrangement set forth below) - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R&D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) [total sheets <u>8</u>] 5. <input checked="" type="checkbox"/> Oath or Declaration [total sheets <u>4</u>] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from prior appl. (37 C.F.R. § 1.63(d)) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).	6. <input type="checkbox"/> Application Data Sheet. (See 37 CFR 1.76 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form b. <input type="checkbox"/> Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies
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ACCOMPANYING APPLICATION PARTS	
9. <input checked="" type="checkbox"/> Assignment Papers (coversheet/document(s))	
10. <input type="checkbox"/> 37 CFR. 3.73(b) Statement (when there is an assignee)	<input checked="" type="checkbox"/> Power of Attorney
11. <input type="checkbox"/> English Translation Document	
12. <input type="checkbox"/> IDS & Form 1449	<input type="checkbox"/> Copies of IDS Citations
13. <input type="checkbox"/> Preliminary Amendment	
14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)	
15. <input type="checkbox"/> Certified Copy of Priority Document(s)	
16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.	
17. <input type="checkbox"/> Other:	

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

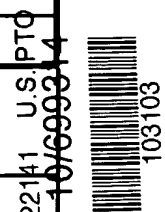
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: /

Prior application information: Examiner: Group/Art Unit:

FOR CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS					
<input checked="" type="checkbox"/> Customer Number or Bar Code Label 25235			or <input type="checkbox"/> Correspondence address below		
Name					
Address					
City		State		ZIP	
Country		Telephone		Fax	

Name (Print/Type)	Stuart T. Langley	Registration No.	33,940
(Signature)	<i>Stuart Langley</i>	Date	10/31/03



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Bruce M. Horton, et al.

Serial No. _____

Filed: Herewith

For: SYSTEM AND METHOD FOR
SETTLING TRANSACTIONS ON AN
ERODING BASIS

Group Art Unit: [Not Yet Assigned]

Examiner:

CERTIFICATE OF MAILING BY EXPRESS MAIL

Mail Stop Patent Application
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Commissioner:

The undersigned hereby certifies that the following documents:

- Utility Patent Application Transmittal; ✓
- Utility Patent Application [Specification (14 pages); Claims (3 pages); Abstract (1 page); Drawings (8 sheets)]; ✓
- Declaration (executed); ✓
- Assignment with Recordation Cover Sheet; ✓
- Fee Transmittal with check in the amount of \$900.00; ✓
- Certificate of Mailing by Express Mail; and ✓
- Return Receipt Postcard. ✓

relating to the above application, were deposited as "Express Mail", Mailing Label No. EV322528906US, with the United States Postal Service, addressed to Mail Stop PATENT APPLICATION, Commissioner for Patents, PO Box 1450, Alexandria VA, 22313-1450, October 31, 2003.

10/31/03
Date

10/31/03
Date

Stuart Langley
Mailer

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**FEE TRANSMITTAL
for FY 2004****Complete if Known**

Application Number	
Filing Date	Herewith
First Named Inventor	Horton, et al.
Examiner Name	
Group / Art Unit	
Attorney Docket No.	NYMX0001

TOTAL AMOUNT OF PAYMENT (\$) **(\$900.00)****METHOD OF PAYMENT (check one)**1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:Deposit
Account
Number**50-1123**Deposit
Account
Name**Hogan & Hartson L.L.P.**☒ Charge Any Additional Fee Required Under 37
CFR §§ 1.16 and 1.17☐ Applicant claims small entity status.
See 37 CFR 1.272. ☒ **Payment Enclosed:**☒ Check☐ Credit
Card☐ Money
Order☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1001	770	2001 385 Utility Filing Fee	770.00
1006	340	2006 170 Design filing fee	
1007	530	2007 265 Plant filing fee	
1008	770	2008 385 Reissue filing fee	
1005	160	2005 80 Provisional filing fee	

SUBTOTAL (1) (\$770.00)**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
25	-20**= 5	X 18	= 90.00
3	-3**=	X	= 0
Independent Claims			= 0
Multiple Dependent			

**or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code	Small Entity Fee Code	Fee Description
1202	18	2202 9 Claims in excess of 20
1201	86	2201 43 Independent claims in excess of 3
1203	290	2203 145 Multiple dependent claim, if not paid
1204	84	2204 42 **Reissue independent claims over original patent
1205	18	2205 9 **Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$90.00)**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105	130	205 65 Surcharge - late filing fee or oath	
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	
139	130	139 130 Non-English specification	
147	2,520	147 2,520 For filing a request for ex parte reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	
116	420	216 210 Extension for reply within second month	
117	950	217 475 Extension for reply within third month	
118	1,480	218 740 Extension for reply within fourth month	
128	2,010	228 1,005 Extension for reply within fifth month	
119	330	219 165 Notice of Appeal	
120	330	220 165 Filing a brief in support of an appeal	
121	290	221 145 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive - unavoidable	
141	1,330	241 665 Petition to revive - unintentional	
142	1,300	242 650 Utility issue fee (or reissue)	
143	480	243 240 Design issue fee	
144	640	244 320 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Processing fee under 37 CFR 1.17(q)	
126	180	126 180 Submission of Information Disclosure Stmt	
581	40	581 40 Recording each patent assignment per property (times number of properties)	40.00
146	770	246 385 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	770	249 385 For each additional invention to be examined (37 CFR § 1.129(b))	
179	770	279 385 Request for Continued Examination (RCE)	
169	900	169 900 Request for expedited examination of a design application	

Other fee (specify)

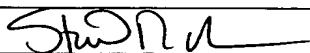
*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)**(\$40.00)****SUBMITTED BY Complete (if applicable)**Name **Stuart T. Langley**Registration No.
(Attorney/Agent)**33,940**

Telephone

(720) 406-5335

Signature



Date

10/31/03